



08-04-00

Receipt

Express Mail No. **EL 451 594 658 US**

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:  
Li-Huan Jen

Serial No. 09/578,217

Filed: May 23, 2000

Title: *Apparatus and Method for Counting  
Error Rates in an Optical Compact Disc  
Storage System*

Group Art Unit: 2753

Attorney Docket No. 9826-014-999

Date: August 2, 2000

#2

REQUEST FOR CORRECTION OF FILING RECEIPT

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

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TECH CENTER 2700

Sir:

Applicants' attorney requests correction of the Filing Receipt for the referenced application. Please change the inventor name from Shawn M Soderberg to Li-Huan Jen. A copy of the marked up Filing Receipt, application transmittal and a copy of the signed Declaration for Patent Application as filed is enclosed.

The Commissioner is hereby authorized to charge any required fee or credit any overpayment to Pennie & Edmonds LLP Deposit Account No. 16-1150 (order no. 9826-014-999). This form is submitted in duplicate for such purpose.

Respectfully submitted,

PENNIE &amp; EDMONDS LLP

By: \_\_\_\_\_

William S. Galliani  
Registration No. 33,885

3300 Hillview Avenue  
Palo Alto, CA 94304  
(650) 493-4935

## FILING RECEIPT



\*OC00000005274431\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: ASSISTANT SECRETARY AND  
COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/578,217 ✓	05/23/2000 ✓	2753	690	9826-014-999	7	17	3

William S Galliani  
Pennie & Edmonds LLP  
3300 Hillview Avenue  
Palo Alto, CA 94304

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Date Mailed: 07/27/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

**Li-Huan Jen**

Shawn M Soderberg, Sunnyvale, CA ;

Continuing Data as Claimed by Applicant

Foreign Applications

If Required, Foreign Filing License Granted 07/26/2000

Title

Apparatus and method for counting error rates in an optical compact disc storage system ✓

Preliminary Class

369

Data entry by : RORIE, DEANNA

Team : OIPE

Date: 07/27/2000

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**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**



**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)), the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
 Office of Initial Patent Examination  
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 Washington, DC 20231



Bib Data Sheet


**UNITED STATES DEPARTMENT OF  
COMMERCE**  
**Patent and Trademark Office**

 Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
 Washington, D.C. 20231

# FILE COPY

<b>SERIAL NUMBER</b> 09/578,217	<b>FILING DATE</b> 05/23/2000 <b>RULE</b> -	<b>CLASS</b> 369	<b>GROUP ART UNIT</b> 2753	<b>ATTORNEY DOCKET NO.</b> 9826-014-999
<b>APPLICANTS</b> Li-Huan Jen, Santa Clara, CA ;				
<b>** CONTINUING DATA *****</b>				
<b>** FOREIGN APPLICATIONS *****</b>				
<b>IF REQUIRED, FOREIGN FILING LICENSE GRANTED ** 07/26/2000</b>				
Foreign Priority claimed <input type="checkbox"/> yes <input checked="" type="checkbox"/> no 35 USC 119 (a-d) conditions <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after met Allowance Verified and Acknowledged <u>                    </u> Examiner's Signature Initials		<b>STATE OR COUNTRY</b> CA	<b>SHEETS DRAWING</b> 7	<b>TOTAL CLAIMS</b> 17
				<b>INDEPENDENT CLAIMS</b> 3
<b>ADDRESS</b> William S Galliani Pennie & Edmonds LLP 3300 Hillview Avenue Palo Alto ,CA 94304				
<b>TITLE</b> Apparatus and method for counting error rates in an optical compact disc storage system				
<b>FILING FEE RECEIVED</b> 690	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time ) <input type="checkbox"/> 1.18 Fees ( Issue ) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit	

**PENNIE & EDMONDS LLP**  
 COUNSELLORS AT LAW  
 3300 Hillview Avenue  
 Palo Alto, CA 94304  
 (650) 493-4935

ATTORNEY DOCKET NO. 9826-014-999Date: May 23, 2000

Assistant Commissioner for Patents  
 Box PATENT APPLICATION  
 Washington, D.C. 20231



Sir:

The following utility patent application is enclosed for filing:

Applicant(s): Li-Huan Jen

Executed on: May 17, 2000

Title of Invention: APPARATUS AND METHOD FOR COUNTING ERROR RATES IN AN OPTICAL COMPACT  
 DISC STORAGE SYSTEM

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**PATENT APPLICATION FEE VALUE**

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	17	-20	0	\$18.00 each	\$ 0.00
Independent	3	-3	0	\$78.00 each	\$ 0.00
Minimum Fee					\$ 690.00
Multiple Dependency Fee If Applicable (\$260.00)					\$ 0.00
<b>Total</b>					\$ 690.00
50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern (a verified statement as to the applicant's status is attached)					- \$ 0.00
<b>Total Filing Fee</b>					\$ 690.00

Also enclosed:

- ☒ Declaration by the inventor;
- ☒ Power of Attorney by Assignee;
- ☒ Assignment with Recordation Form Cover Sheet; and
- ☒ 7 sheets of informal drawings (7 figures).

Please charge the required fee to Pennie &amp; Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.

Respectfully submitted,

\_\_\_\_\_  
 William S. Galliani  
 PENNIE & EDMONDS LLP

33,885

(Reg. No.)

This form is not for use with continuation, divisional, re-issue, design or plant patent applications.

## DECLARATION FOR PATENT APPLICATION



As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled ***Apparatus and Method for Counting Error Rates in an Optical Compact Disc Storage System*** the specification of which

☒ is attached hereto.

☐ was filed on \_\_\_\_\_ as Application Serial No. \_\_\_\_\_ and was amended on \_\_\_\_\_. (if applicable)

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I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the Patent Office all information known to me to be material to patentability as defined in 37 C.F.R. 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

Priority Claimed

\_\_\_\_\_  
(Number)

\_\_\_\_\_  
(Country)

\_\_\_\_\_  
(Date Filed)

Yes ☐ No ☐

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose to the Patent Office all information known to me to be material to patentability as defined in 37 C.F.R. 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

\_\_\_\_\_  
(Application Serial No.)

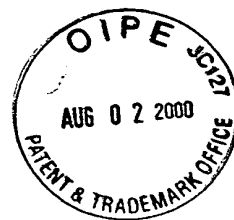
\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

I hereby claim the benefit under Title 35, United States Code § 109(e) of any United States provisional application(s) listed below.

(Application Serial No.)

(Filing Date)



Direct all telephone calls to William S. Galliani at (650) 493-4935. Address all correspondence to:

PENNIE & EDMONDS LLP  
3300 Hillview Avenue  
Palo Alto, CA 94304

File No. 9826-014-999

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, §1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor:

Li-Huan Jen

Inventor's signature:

[Signature]

Date:

May 17, 2000

Residence:

2580 Homestead Road, Apt. 35, Santa Clara, CA 95051

Citizenship:

Taiwan

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Santa Clara, CA 95051